

06/22/01

Jc839 U.S. PTO

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PTO/SB/05 (08-00)

UTILITY
PATENT APPLICATION
TRANSMITTAL

Attorney Docket No. UBC-002

First Inventor Seung U. Kim

Title IMMORTALIZED HUMAN MICROGLIA CELL

Express Mail Label No.

(Only for new nonprovisional applications under 37 CFR 1.53(b))

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

- 1 ☐ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
- 2 ☒ Applicant claims small entity status.
See 37 CFR 1.27.
- 3 ☒ Specification [Total Pages 42]
(preferred arrangement set forth below)
- Descriptive title of the invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
- 4 ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 6]
- 5 Oath or Declaration [Total Pages 3]
- a ☒ Newly executed (original or copy)
Copy from a prior application (37 CFR 1.63 (d))
(for continuation/divisional with Box 17 completed)
- b ☐ DELETION OF INVENTOR(S)
Signed statement attached deleting inventor(s)
named in the prior application, see 37 CFR
1.63(d)(2) and 1.33(b)
- 6 ☐ Application Data Sheet. See 37 CFR 1.76

ADDRESS TO:

Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

- 7 ☐ CD-ROM or CD-R in duplicate, large table or
Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)
- a. ☐ Computer Readable Form (CRF)
- b. Specification Sequence Listing on:
i. ☐ CD-ROM or CD-R (2 copies); or
ii. ☐ paper
- c. ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

- 9 ☐ Assignment Papers (cover sheet & document(s))
- 10 ☐ 37 CFR 3.73(b) Statement ☒ Power of
(when there is an assignee) Attorney
- 11 ☐ English Translation Document (if applicable)
- 12 ☐ Information Disclosure ☐ Copies of IDS
Statement (IDS)/PTO-1449 Citations
- 13 ☐ Preliminary Amendment
- 14 ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
- 15 ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
- 16 ☒ Other: Accounting Sheet

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment
or in an Application Data Sheet under 37 CFR 1.76:☐ Continuation ☐ Divisional ☒ Continuation-in-part (CIP)

of prior application No. 09/855,468

Prior application information.

Examiner

N/A

Group / Art Unit:

N/A

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under
Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference.
The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

18. CORRESPONDENCE ADDRESS

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Signature

Date 6/22/01

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on
the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC
20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application,
Washington, DC 20231.

ACCOUNTING SHEET

The Commissioner For Patents And Trademarks
Washington, D.C. 20231

UBC-002
Case Docket No.

Sir:

Transmitted herewith for filing is the patent application of

Inventor(s): Seung U. Kim
For: "Immortalized Human Microglia Cell And Continuous Cell Line"

XXX Enclosed are:

XX 42 pages of Specification.

XX 3 pages of claims.

XX 6 sheets of drawing.

XX An original combined Declaration And Power Of Attorney.

XX A written assertion of entitlement to Small Entity status pursuant to 37 C.F.R. 1.27.

____ An Assignment of the invention to _____

Other _____

XXX The filing fee has been calculated as shown below:

_____	Recording each Assignment.....	\$ 40	\$ 40
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(Col. 1)	(Col. 2)	SMALL ENTITY	LARGE ENTITY
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FOR: No. Filed / No. Extra / Rate - Fee (or) Rate - Fee

BASIC FEE: ***** ***** ***** \$ 355 ***** \$ *****

TOTAL CLAIMS: $17 - 20 = 0$ x \$ 9 = \$ 00 (or) x \$18 = \$ ****

INDEP CLAIMS: 2 - 3 = 0 x \$40 = \$ 00 (or) x \$80 = \$

MULTIPLE DEPENDENT

CLAIM PRESENTED

$$+\$135 = \$00 \text{ (or)} +\$270 = \$****$$

TOTAL = \$ 355

XXX A check in the amount of \$ 355.00 for the filing fee is enclosed.

"Express Mail mailing label number ET182838578 US

Date of
Deposit JUNE 22, 2001

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office To Addressee" service under 37 C.F.R. 1.10 with the mailing label number and the date indicated above, and is addressed to the Assistant Commissioner for Patents, Box Patent Application, Washington, D.C. 20231.

David Prashker

(Typed or printed name of person mailing paper or fee)

David Prashker

(Signature of person mailing paper or fee)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Seung U. Kim
Serial No. : yet to be provided
Filed : herewith
For : "IMMORTALIZED HUMAN MICROGLIA
CELL AND CONTINUOUS CELL LINE"
Attorney's Docket No : UBC-002

WRITTEN ASSERTION OF SMALL ENTITY STATUS
PURSUANT TO 37 C.F.R. 1.27

Assistant Commissioner for Patents
Box Patent Application
Washington, D.C. 20231

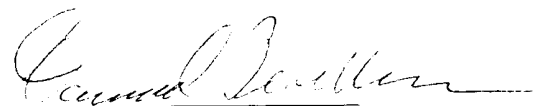
Dear Sir:

Pursuant to the provisions of 37 C.F.R. 1.27 as amended
and effective September 8, 2000 and in accordance with Section
1.27(c) in particular, the above-identified applicant hereby formally
presents and files his written assertion of entitlement to Small Entity
status.

Respectfully submitted,

SEUNG U. KIM

Date: June 22, 2001
P.O. Box 5387
Magnolia, Massachusetts 01930
Tel.: (978) 525-3794

By: 
David Prashker
Reg. No. 29,693
Attorney for applicant